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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/703,919	10/30/2000	Farrukh S. Najmi	SUN1P293	3191

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EXAMINER

KIANERSI, MITRA

ART UNIT	PAPER NUMBER
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2143

DATE MAILED: 05/14/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/703,919

Applicant(s)

NAJMI, FARRUKH S.

Examiner

mitra kianersi

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 03 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 15 March 2004.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-6 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-6 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 30 October 2000 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____
- 4) ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date _____
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: _____

Specification

The examiner acknowledges an amendment to the specification and Abstract filed on March/15/2004.

Response to Amendment

Applicant's arguments filed March/15/2004 have been fully considered but they are not persuasive.

Applicant on page 5, lines 13-15 argue that the notion of audits or creating an audit is never mentioned in McCormick. Based on Newton's Telecom Dictionary by Harry Newton (page 83) an audit trail is a record of all the events that occur when users request and use specific resources. An audit trail gives you the ability to trace who did what and who was responsible for what. An audit trail is a chronological record of system activities that is sufficient to enable the reconstruction, review and examination of the sequence of environments and activities surrounding or leading to an operation, a procedure or an event in a transaction from its inception to final results. Audit trail may apply to information in an automated information system, to the routing of messages in a communication system, or to a material exchange transaction, such as in financial audit trails. Audit trails are great for finding out what activity caused the disaster, the network to crash, etc. McCormick on [0031] discloses that the BVN.TM. Manager also ensures that a Message Bus is established that allows messages to be passed among the parties within the business network. The Message Bus can be implemented using a commercial messaging system, such as systems based on the Java Messaging Service. The Message Bus is configured to support the Event Channels defined in the BVN.TM. Interoperation application. Once the BVN.TM. Manager has organized the network; they are responsible for the ongoing maintenance of the BVN.TM. system architecture from a business and technology perspective.

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McCormick also on [0049] clearly discloses that the Message Bus and Event Channels are the communications backbone of the BVN.TM. System Interoperation Framework 5000. The BVN.TM. Connector includes a communications client for the BVN.TM. Message Bus. The Message Bus/Event Channel itself is typically a commercial message bus package based on the Java Messaging service or the CORBA event service or equivalent. The Message Bus/Event Channels provide the ability for all applications to communicate through a shared mechanism, thus eliminating costly point-to-point integration and shielding applications from each other's complexities. communicate through a shared mechanism, thus eliminating costly point-to-point integration and shielding applications from each other's complexities.

Applicant on page 6 lines 4-7 argues that the applicant's administrator is different from the administrator in McCormick; not only in terms of its embodiment (i.e., a component that is part of the computing system, and not a role representing an organization or a physical individual), but also in terms of the tasks the administrator performs.

McCormick on [0050] discloses that once participant roles are defined and the BVN.TM. system is configured, the BVN.TM. system provides component applications that provide an interface for management of the underlying data structure, as well as day-to-day transactions. The BVN.TM. system includes applications to support the following areas: Registration; Solution Configuration; Product and Service Trading; Solution Assembly; Solution Delivery; Settlements; Issue and Dispute Management; Marketing; and Customer Management.

Applicant on page 6 lines 18-27 argues creating an event based on an event specification or template is not identical to creating an audit trail by retrieving a sent message and a corresponding response. Based on Newton's Telecom Dictionary by Harry Newton (page 83) an audit trail is a record of all the events that occur when users request and use specific resources. An audit trail gives you the ability to trace who did what and who was responsible for what. An audit trail is a chronological record of system activities that is sufficient to enable the reconstruction, review and examination of the sequence of environments and activities surrounding or leading to an operation, a procedure or an event in a transaction from its inception to final results. Audit trail may

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apply to information in an automated information system, to the routing of messages in a communication system, or to a material exchange transaction, such as in financial audit trails. Audit trails are great for finding out what activity caused the disaster, the network to crash, etc. McCormick also on [0038] clearly discloses that Participants in the BVN.TM. system have several major types of activities they can perform, including: making direct requests for services using Elementary Business Process ("EBP") requests, such as log-on, log-off, update network participant, submit to trading, submit offer to customer and retrieve catalog prices; retrieving personal information from their user channels; listening in and retrieving broadcast messages; participating in inter-party messaging; retrieving messages no longer available on broadcast or on the user channels; and publishing on broadcast channels (if authorized). For all the reasons mentioned above the dependent claims are also not allowable.

Claim Rejections - 35 USC § 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

Claims 1-6 are rejected under 35 U.S.C. 102(e) as being anticipated by

McCormick (US 2002/0040352).

1. As per claim 1, McCormick teach a method of memorializing an e-business audit trail, comprising:

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-determining if a message is to be sent to a subscriber by a message service;
(corresponds to Message Bus is established that allows messages to be passed among the parties within the business network. The Message Bus can be implemented using a commercial messaging system, such as systems based on the Java Messaging Service. Paragraph [0031]) and (the Message Bus/Event Channel itself is typically a commercial message bus package based on the Java Messaging service or the CORBA event service or equivalent. Paragraph [0049])

-if the message is to be sent, determining if an administrator is running;
(corresponds to an administrator which can update profile information for their Enterprise. Paragraph [0127])

-if the administrator is running, storing the message in a corresponding topic in the administrator; (corresponds to the client application processes the reference data maintenance event. This may include storing the reply, displaying it or performing further processing on the reply event. Paragraph [0234])

-if the administrator is not running, storing the message by the message service;
(corresponds to listening in and retrieving broadcast messages; participating in inter-party messaging; retrieving messages no longer available on broadcast Paragraph [0038])

-if the administrator is running, storing a response to the sent message in the topic in the administrator corresponding to the sent message; (corresponds to all "actual" events are created based on their corresponding Event Specification (i.e., "template" Events).Paragraph [0966])

-if the administrator is not running, storing the response by the message service; (corresponds to listening in and retrieving broadcast messages; participating in inter-party messaging; retrieving messages no longer available on broadcast. paragraph [0038] the operation name and the output results produced by the service application, and is stored in a data store for later access and processing. Paragraph [0076])

-creating an audit trail by retrieving the stored sent message and the

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corresponding response. (corresponds to all "actual" events are created based on their corresponding Event Specification (i.e., "template" Events). Paragraph [0966])

2. As per claim 2, McCormick teach a method, wherein the message service is part of an enterprise computer system. (corresponds to enterprise systems. Paragraph [0037])

3. As per claim 3, McCormick teach a method, wherein the enterprise computer system includes a subscribing portion coupling a first partner and a second partner. (corresponds to the Message Bus/Event Channels providing the ability for all applications to communicate through a shared mechanism, thus eliminating costly point-to-point integration and shielding applications from each other's complexities. Paragraph [0049])

4. As per claim 4, McCormick teach a method, wherein the subscribing portion comprises a subscription manager arranged to receive a message from the first partner; (subscribe mechanism for event message transfer. paragraph [0171],

-a subscription message adapter coupled to the subscription manager arranged to convert the first partner message from a first partner message format to a second partner message format; (corresponds to presentation/formatting/interface" processing.

-a partner adapter coupled to the subscription manager adapter arranged send the appropriately formatted message to the second partner. paragraph [0843],

-a partner adapter coupled to the subscription manger adapter arranged send the appropriately formatted message to the second partner. (corresponds to allowing different relationships to be established between the different network participants across networks and allowing the appropriate EBP requests to be submitted by the participants to facilitate inter-networking. Paragraph [0040])

5. As per claim 5, McCormick teach a method, wherein the enterprise computer system includes a receiving portion coupling the second partner and the first partner. (corresponds to the EBP, Elementary Business Process application allocating the appropriate channels for both receiving EBP requests and publishing replies. Paragraph [0154])

6. As per claim 6, McCormick teach a method, the receiving portion comprises

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-a delivery message adapter coupled to the partner adapter suitably configured to receive a response from the second partner by way of the partner adapter arranged to convert the response from the second partner message format to the first partner message format; a delivery manager coupled to the delivery message adapter arranged to deliver the response to the first partner.(corresponds to parent/child process where, within this process, the parent and child solution are linked to ensure appropriate solution delivery. Paragraph [0639])

Conclusion

THIS ACTION IS MADE FINAL. Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

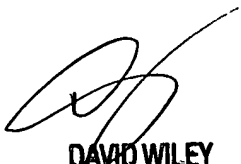
Any inquiry concerning this communication or earlier communications from the examiner should be directed to Mitra Kianersi whose telephone number is (703) 305-4650. The examiner can normally be reached on 7:00AM-4:00PM.

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If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, David Wiley can be reached on (703) 308-5221. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Mitra Kianersi
May/10/2004



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TECHNOLOGY CENTER 2100